United Nations ST/SGB/2019/2

Secretariat

17 December 2018

Secretary-General's bulletin

Delegation of authority in the administration of the Staff Regulations and Rules and the Financial Regulations and Rules

The Secretary-General, for the purposes of decentralizing decision-making, aligning authorities with responsibilities and strengthening accountability, and to delegate to managers the necessary managerial authority over human, financial and physical resources to allow for effective mandate delivery, promulgates the following:

Section 1
Establishment of the new framework for delegation of authority

1.1 The Secretary-General hereby rescinds all existing delegations of authority and subdelegations of authority under the Staff Regulations and Rules and the Financial Regulations and Rules issued to any official of the United Nations, other than the executive heads of separately administered and funded subsidiary organs, institutions, funds and programmes of the United Nations. The Secretary-General hereby establishes the framework for the reissuance of new delegations of authority directly to heads of entity[1] to implement specified aspects of the Staff Regulations and Rules and the Financial Regulations and Rules.

1.2 All delegations of authority, including any limitations, will be issued and managed through an online portal, described below.

1.3 The matters reserved exclusively for the decision of the Secretary-General are set out in the annexes to the present bulletin. Where authority over a matter is not delegated, the matter is reserved for the decision of the Secretary-General.

Section 2
General principles of delegation (including subdelegation) of authority in the administration of the Staff Regulations and Rules and the Financial Regulations and Rules

2.1 As the chief administrative officer of the Organization under the Charter of the United Nations, the Secretary-General holds the primary authority and accountability for the administration of the Staff Regulations and Rules and the Financial

[1] "Head of entity" means the head of a department or an office, including an office away from Headquarters; the head of a special political or peacekeeping mission; the head of a regional commission; a resident or regional coordinator; or the head of any other unit tasked with programmed activities.

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Regulations and Rules. The Secretary-General's authority may be delegated in accordance with the principles and procedures set out in the present bulletin.

2.2 The annexes to the present bulletin set out the standard authorities that a head of entity may receive, depending on the capacity of the entity to receive and implement the delegations in a responsible and effective manner. The capacity of any entity may change over time, and the assessment of that capacity and the appropriate level of specific delegations of authority shall be the responsibility of the Under-Secretary-General for Management Strategy, Policy and Compliance, in consultation with the Under-Secretary-General for Operational Support and the head of entity concerned.

2.3 A core principle of delegation of authority is the delegation of centrally held decision-making closer to the point of service delivery. The exercise of a delegated authority is the taking of a decision within the authority delegated and is separate from the execution of that decision, which may require a specific administrative capacity. Delegation of authority should not lead to the creation of new duplicative administrative capacities in entities which lack the structural capacity to execute decisions. Consequently, where the head of entity has the capacity to take a decision under delegated authority but the entity lacks the appropriate capacity to execute the decision, another entity will be assigned by the Under-Secretary-General for Operational Support, in consultation with the Under-Secretary-General for Management Strategy, Policy and Compliance and the head of entity concerned, to execute the decision on the entity's behalf as a service provider.

2.4 Where the Secretary-General has delegated the authority to administer the Staff Regulations and Rules and the Financial Regulations and Rules to heads of entity, such delegation shall be understood to be on a functional, rather than personal, basis unless the Secretary-General has expressly indicated otherwise.

2.5 All delegations of authority shall be made formally through the dedicated online portal.[2] The authorities delegated shall be clearly stated and accepted by both the delegator and the delegatee, including that such delegation may be suspended, amended or revoked as provided in section 4.4 below. The delegation should include the description of the authority being delegated and any specific limitations imposed, including but not limited to restrictions on further subdelegation and essential segregations of duties where applicable. Delegatees shall inform themselves of the delegation and the relevant regulations, rules, policies, practices and standards applicable to any decision or action to be taken under the authority delegated and cannot claim ignorance of such in defence of any decision or action taken in the exercise of any delegated authority. The Department of Management Strategy, Policy and Compliance and the Department of Operational Support shall be available to support delegatees in this regard.

2.6 When an officer-in-charge or an officer ad interim is assigned to a function, the authorities of the official holding that function shall automatically be delegated on a temporary basis to the officer-in-charge or the officer ad interim, unless otherwise specified formally by the official who designated the officer-in-charge or the officer ad interim.

2.7 A delegation of authority by the Secretary-General to a head of entity entails personal responsibility for duly discharging the authority and personal accountability for incorrectly applying or failing to correctly discharge the authority. On the advice of the Under-Secretary-General for Management Strategy, Policy and Compliance in

[2] Where circumstances require delegation to be made outside the online portal, such delegation shall be made in writing, with a copy provided to the Under-Secretary-General for Management Strategy, Policy and Compliance.

consultation with the Under-Secretary-General for Operational Support, the Secretary-General has the discretion at any time to enquire about and to provide input on the exercise of delegated authorities and to suspend, amend or withdraw the delegated authorities, and any such resulting action shall be reflected in the online portal.

2.8 Within an entity, delegated authority may be further delegated, unless such further delegation has been excluded by the delegator in the delegation or subdelegation. Delegators remain accountable and responsible for the exercise of delegated authority that they subdelegate. Any such subdelegation should be along reporting lines and on a functional and not a personal basis and therefore be consistent with the anticipated responsibilities to be performed. The original delegator has the discretion at any time to enquire about and to provide input on the exercise of delegated authorities and to suspend, amend or withdraw the delegated authorities, and any such resulting action shall also be reflected in the online portal.

2.9 A delegatee shall promptly and fully comply with all reporting requirements set by the delegator and the Under-Secretaries-General for Management Strategy, Policy and Compliance and for Operational Support.

2.10 Any staff member to whom authority is delegated or subdelegated, as the case may be, in accordance with the present bulletin is accountable for exercising the highest standards of professionalism and integrity in accordance with the Staff Regulations and Rules and the standards of conduct for the international civil service. The exercise of such authority shall be based on considered professional judgment, in full conformity with the Staff Regulations and Rules, the Financial Regulation and Rules, policies, practices and standards and overall interests of the Organization and subject to the United Nations Secretariat accountability system.[3]

2.11 For the purposes of the present bulletin, "accountability" is the obligation of staff members to be answerable for all decisions made and actions taken by them, and to be responsible for honouring their commitments, without qualification or exception. Accountability includes achieving objectives and high-quality results in a timely and cost-effective manner, in fully implementing and delivering on all mandates to the Secretariat approved by the United Nations intergovernmental bodies and other subsidiary organs established by them in compliance with all resolutions, regulations, rules and ethical standards; truthful, objective, accurate and timely reporting on performance results; responsible stewardship of funds and resources; all aspects of performance, including a clearly defined system of rewards and sanctions; and with due recognition to the important role of the oversight bodies and in full compliance with accepted recommendations.

Section 3
Delegations of authority to be held centrally

3.1 The Secretary-General shall delegate certain authorities to be held and exercised centrally by the Under-Secretary-General for Management Strategy, Policy and Compliance or the Under-Secretary-General for Operational Support for reasons including oversight and assurance, coordination of inter-entity operational support matters, and administration of human resources and physical assets shared between Secretariat entities. In addition, the Under-Secretaries-General for Operational Support and for Management Strategy, Policy and Compliance may, in consultation with each other, apply temporary exceptional measures for application in extraordinary situations.

[3] See A/64/640 and A/72/773.

3.2 The authorities to be centrally held and exercised are set out in the annexes to the present bulletin.

Section 4
Management of authorities delegated to heads of entity

4.1 Heads of entity will receive notification of their delegations of authority from the Secretary-General and any actions relating to such delegations, such as amendment, suspension or revocation, through the online portal. The heads of entity will acknowledge receipt of the delegations to them in their capacity as head of entity through the portal.

4.2 Through the online portal, the heads of entity will be provided with a description of the authority being delegated and any specific limitations imposed, including but not limited to restrictions on further subdelegation and essential segregations of duties where applicable. Heads of entity will use the online portal to subdelegate authority and shall be able to view all subdelegations within their entity.

4.3 The authorities delegated to heads of entity are specific to that function and are not personal in nature. When heads of entity cease to hold the appointment for that function, they will no longer hold or be able to exercise the authorities delegated to that function. Pending the appointment of an officer-in-charge, an officer ad interim or a replacement head of entity, all subdelegations will remain in effect. When the head of entity is succeeded by another, the duly appointed successor will ordinarily be afforded the same level of delegations as the predecessor and shall be notified of and accept the delegations through the online portal. All subdelegations issued by the predecessor shall remain valid, with the accountability transferring to the successor unless otherwise withdrawn or modified by the successor.

4.4 The Department of Management Strategy, Policy and Compliance is responsible for monitoring and evaluating compliance with the present bulletin, including whether any circumstances have arisen that justify the suspension, amendment or revocation of any delegation, in whole or in part; this may also result in the imposition of administrative or disciplinary measures. Delegations of authority granted to a head of entity may be suspended, amended or revoked at any time by the Secretary-General on the advice of the Under-Secretary-General for Management Strategy, Policy and Compliance in consultation with the Under-Secretary-General for Operational Support. The decision to suspend, amend or revoke (in whole or in part) the authorities delegated to the heads of entity, including the reasons therefor, shall be recorded through the online portal. A record of the decision and the reasons for such action shall be maintained by the Department of Management Strategy, Policy and Compliance.

4.5 In the event that certain delegated authorities of the head of entity are suspended, amended or revoked or otherwise revised pursuant to section 4.4, the Under-Secretary-General for Management Strategy, Policy and Compliance, in consultation with the Under-Secretary-General for Operational Support, shall make a recommendation to the Secretary-General on which head of entity should exercise those authorities until such time as the circumstances giving rise to the suspension, amendment or revocation of the authorities no longer apply. Where appropriate, the Department of Operational Support shall work with the entity concerned to enhance its capability until the required capacity has been developed to the satisfaction of the Under-Secretary-General for Management Strategy, Policy and Compliance.

4.6 The Under-Secretaries-General for Management Strategy, Policy and Compliance and for Operational Support shall be able to view all delegations and subdelegations of authority made through the online portal.

Section 5
Management of subdelegations of authority by the heads of entity

5.1 Within entities, the heads of entity shall subdelegate selected authorities vested in them, in accordance with any limitation set out in the individual delegation of authority, to their staff, aligning authorities with responsibilities while ensuring key segregation of duties, to ensure the most effective and responsible use of the resources under their authority to deliver their mandates. They should decide on the scope and limit of the authorities to be delegated and the effective date of delegation. The further delegation of authorities from the head of entity shall be made through the online portal.

5.2 In circumstances where it is determined by the Department of Management Strategy, Policy and Compliance, in consultation with the head of entity concerned, that the mandate of that entity requires the subdelegation of specific authorities to the head of another entity, such subdelegation shall be made through the online portal.

5.3 Authorities subdelegated by the head of entity may be suspended, amended or revoked, in whole or in part, by the head of entity at any time when circumstances have arisen that justify such action. The head of entity shall do so through the online portal and shall communicate the reasons for such action in writing to the delegatee. A record of the decision and reasons for such action shall be maintained by the head of the human resources unit of the entity concerned.

5.4 Should there be any changes to the authorities delegated to the head of entity, whether for policy reasons or to reflect a change in circumstances, the head of entity shall ensure that concomitant changes are made to any subdelegations to align those subdelegations with the revised authority vested in the head of entity. Such changes shall be made through the online portal.

Section 6
Monitoring the exercise of delegated authority

The Department of Management Strategy, Policy and Compliance will monitor the use of delegated authority, including through the use of key performance indicators, to ensure that the delegatees are complying with the applicable legal and policy framework and internal controls.

Section 7
Final provisions

7.1 The present bulletin shall enter into force on 1 January 2019.

7.2 The following administrative issuances are hereby superseded:

(a) Secretary-General's bulletin ST/SGB/2015/1, entitled "Delegation of authority in the administration of the Staff Regulations and Staff Rules";

(b) Administrative instruction ST/AI/234/Rev.1, as amended, entitled "Administration of the Staff Regulations and Staff Rules";

(c) Administrative instruction ST/AI/2016/7, entitled "Delegation of authority under the Financial Regulations and Rules of the United Nations".

7.3 The delegations of authority under the Staff Regulations and Rules and the Financial Regulations and Rules for decisions as set forth in all existing administrative issuances are superseded by the provisions of the present bulletin, but all other provisions of such administrative issuances remain valid.

7.4 Except as modified by the present bulletin, all existing administrative issuances remain in full force and effect.

7.5 Where the annexes to the present bulletin and any delegations or subdelegations of authority made pursuant to the present bulletin refer to provisions of the Staff Regulations and Rules or the Financial Regulations and Rules that are no longer in force, the most closely associated provisions of those Regulations and Rules currently in force shall apply.

(*Signed*) António **Guterres**
Secretary-General

Annex I

Delegation of financial authorities: budget and finance

	Financial regulation	*Financial rule*	*Before 1 January 2019*	*From 1 January 2019*
Article II. Budgets				
A. Programme budget				
Authority and responsibility: The Secretary-General decides on programme content and resource allocation of the proposed programme budget and resource allocation of all revised and supplementary programme budget proposals to be submitted to the General Assembly	2.1, 2.9	102.1 (a) 102.5 (b)	Secretary-General	Secretary-General
Authority and responsibility: Preparation of programme budget proposals (format provided by DMSPC)	2.1	102.1 (b)	Heads of department	Heads of entity
Presentation, structure, details and methodology	2.2, 2.3	102.2	USG/DM	USG/DMSPC
Review and approval: Review and approval of budget proposals for submission to the Secretary-General	2.4, 2.5		Controller	Heads of entity
Revised and supplementary programme budget proposals, programme budget implications, unforeseen and extraordinary expenses (based on decisions by heads of entity, as approved by the Secretary-General, DMSPC issues approved budgets, prepares revised and supplementary budget proposals and resolutions with programme budget implications, authorizes commitments for unforeseen and extraordinary expenses)	2.8–2.11	102.3, 102.5 (a), 102.6, 102.7	Heads of department for 102.5 (a) and 102.6 Controller for 102.3 and 102.7	Heads of entity
B. Peacekeeping operation budgets				
Authority, responsibility, submission and approval: The Secretary-General decides on objectives, expected accomplishments, outputs, activities and resource allocation in all peacekeeping budgets submitted to the General Assembly	2.12, 2.13	102.8 (a)	Secretary-General	Secretary-General

	Financial regulation	*Financial rule*	*Before 1 January 2019*	*From 1 January 2019*
Authority and responsibility: Preparation of peacekeeping budget proposals (format provided by DMSPC)	2.12, 2.13	102.8 (b)	Controller	Heads of entity
Article III. Contributions and other income				
A. Programme budget				
B. Peacekeeping operation budgets				
Requests for payment of assessed contributions	3.1–3.11	103.1, 103.2, 103.3	Controller	USG/DMSPC
Payment of assessed contributions				
Currency of assessed contributions				
C. Voluntary contributions, gifts and donations				
Acceptance and approval of contribution agreements (in accordance with the policy)	3.12, 3.13	103.4	Directors of Administration OAHs, DMS/CMS PKOs, Executive Officers	Heads of entity
E. Receipt of funds				
Receipt and deposit: Receipt of contributions in house bank account (DMSPC sets policy and makes arrangements for deposits of moneys in official bank accounts)		103.6	Controller	Heads of entity
Article IV. Custody of funds				
A. Internal accounts				
Approve advances from the Working Capital Fund as prescribed by General Assembly Approve advances from Peacekeeping Reserve Fund as prescribed by Security Council and General Assembly Approve establishment, purpose and limits of trust funds, reserve and special accounts Tax Equalization Fund	4.3–4.14	104.1, 104.2, 104.3	Controller	USG/DMSPC
B. Banking				
Bank accounts, authority and policy: Setting the currency of receipt of funds, guided by the standard standing instructions in the house bank accounts (final designation of bank	4.15	104.4, 104.5, 104.6	Controller	Heads of entity

	Financial regulation	*Financial rule*	*Before 1 January 2019*	*From 1 January 2019*
signatories will remain under the authority of DMSPC, which continues to designate banks and establish bank accounts, designate bank signatory officials for the operation of accounts, authorize closure of bank accounts, monitor exchange of currency, delegate bank signatory authority)				
Remittances to OAHs: DMSPC makes arrangements for remittances from Headquarters not to exceed amount required to bring cash balances up to levels necessary to meet monthly requirements	4.15	104.7	Controller	USG/DMSPC
Cash advances (petty cash and imprest accounts): Management of petty cash advances and establishment of imprest accounts	4.15	104.8, 104.9	Directors of Administration OAHs/regional commissions, DMS/CMS PKOs, Executive Officers	Heads of entity
Disbursements/payments: Management of cash of incoming and outgoing payments and house bank account balances	4.15	104.10	Controller	USG/DMSPC
Reconciliation of bank accounts if the entity is responsible for a house bank (within the policy and approved exceptions set by DMSPC)	4.15	104.11	Controller	Heads of entity
C. Investments				
Authority, responsibility and policy: Investment of funds to meet cash-flow requirements and highest rate of return Revenue Losses	4.16, 4.17, 4.18	104.12, 104.14, 104.16	Controller	USG/DMSPC
Article V. Utilization of funds				
A. Appropriations				
B. Commitments and expenses				
Transfers between appropriations	5.6	105.1	Controller	USG/DMSPC
Commitments against appropriations for future budget periods (DMSPC discloses commitments in the financial statements and sets policy and appropriate thresholds against administered accounts)	5.7	105.2	Controller	Heads of entity

	Financial regulation	*Financial rule*	*Before 1 January 2019*	*From 1 January 2019*
Authority and responsibility: Incurring commitments, expending funds (including management of programme support costs, cost recovery funds and staffing tables) Redeployment of funds across expenditure groups within boundaries imposed by General Assembly Approve cost plans based on revenue, issue allotments and enter into financial arrangements (within the policies and approved exceptions set by DMSPC and as authorized under procurement rules and subject to MOUs)	5.9	105.3	Directors of Administration OAHs/regional commissions, DMS/CMS PKOs, Executive Officers	Heads of entity
Appointment of certifying officers Appointment of approving officers	5.9	105.5, 105.6	Directors of Administration OAHs/regional commissions	Heads of entity
Peacekeeping reimbursements: Approve reimbursement of Member States based on rates and peacekeeping budgets approved by the General Assembly (DMSPC reviews liquidity sufficiency to release payments to Member States)	5.10	105.10	Controller	USG/DOS
Management services agreements: Approval of provision of support services to Governments, specialized agencies and other international and intergovernmental organizations in support of activities financed by trust funds or special accounts (based on cooperation agreement and full recovery of the cost to the United Nations) Authority to approve MOUs and LOAs for contributions by Governments is delegated to DOS		105.11	Controller	Heads of entity USG/DOS for MOUs/LOAs
Ex gratia payments	5.11	105.12	Controller	USG/DMSPC
Approval of progress and advance payments to vendors when work has been delivered (within guidance by DMSPC)	5.12	105.19	ASG/OCSS in consultation with Controller	Heads of entity
Financial statements: Preparation of financial statements and transmission to the Board of Auditors Establishment of accounting systems	6.1–6.4	106.1, 106.2, 106.4, 106.5, 106.8	Controller	USG/DMSPC

	Financial regulation	*Financial rule*	*Before 1 January 2019*	*From 1 January 2019*
Currency of accounting records Accounting for exchange rate fluctuations Retention or destruction of accounting and other financial records				
Writing off losses of assets, including cash, receivables, property, plant and equipment, inventories and intangible assets: Write-off of low-value receivables against managed accounts for a single loss or series of related losses, within thresholds	6.5	106.7	Directors of Administration OAHs/regional commissions, DMS/CMS PKOs, Executive Officers	Heads of entity
Supplement to the Financial Regulations and Rules of the United Nations				
Annex I. Financial Rules of the Environment Fund and Associated Trust Funds of the United Nations Environment Programme				
Article VII. Financial records and statements Maintenance of accounts and records Preparation and certification of the financial statements of UNEP (accounting and financial reporting provided by UNON)		207.1, 207.3	USG/DM on behalf of Executive Director	Executive Director
All other rules in annex I to the supplement, except those requiring the approval of the United Nations Environment Assembly			Executive Director	Executive Director
Annex II. Financial Regulations of the United Nations for the United Nations Habitat and Human Settlements Foundation, and Financial Rules of the United Nations Habitat and Human Settlements Foundation and of Other Extrabudgetary Resources of the United Nations Human Settlements Programme (UN-Habitat)				
Article III. Contributions and other income Setting limits of funds to be borrowed by the Foundation	1.2	303.9	Secretary-General on recommendation by the Executive Director and authorization by the Controller	Secretary-General
Article IV. Custody of funds Delegation of authority for custody of the Foundation Loan Fund and its Reserve		304.6	USG/DM	Executive Director
Reporting on actions in the establishment and implementation of the policy, systems and procedures as outlined in rule 305.5 (a)		305.5 (b)	Executive Director through USG/DM	Executive Director

	Financial regulation	*Financial rule*	*Before 1 January 2019*	*From 1 January 2019*
Article VI. Accounting Maintenance of the accounts Preparation and certification of annual financial statements (accounting and financial reporting provided by Director-General, UNON)		306.1, 306.2, 306.10	USG/DM	Executive Director
All other rules in annex II to the supplement, except those requiring the approval of the Governing Council of UN-Habitat			Executive Director	Executive Director
Annex III. Financial Rules of the Fund of the United Nations International Drug Control Programme and of the Fund of the United Nations Crime Prevention and Criminal Justice Programme				
Article VI. Accounting Maintenance of accounts Preparation and certification of the annual financial statements (accounting and financial reporting provided by UNOV)		406.1, 406.3	Executive Director	Executive Director
All other rules in annex III to the supplement, except those requiring the approval of the Commission on Narcotic Drugs or the Commission on Crime Prevention and Criminal Justice			Executive Director	Executive Director

Abbreviations: ASG, Assistant Secretary-General; CMS, Chief of Mission Support; DM, Department of Management; DMS, Director of Mission Support; DMSPC, Department of Management Strategy, Policy and Compliance; DOS, Department of Operational Support; LOA, letter of assist; MOU, memorandum of understanding; OAH, office away from Headquarters; OCSS, Office of Central Support Services; PKO, peacekeeping operation; UNEP, United Nations Environment Programme; UNON, United Nations Office at Nairobi; UNOV, United Nations Office at Vienna; USG, Under-Secretary-General.

Annex II

Delegation of financial authorities: procurement

	Financial regulation	*Financial rule*	*Before 1 January 2019*	*From 1 January 2019*
Procurement				
Authority and responsibility	5.12 and 5.13	105.13	Director/Chief of Administration	Heads of entity
Competition	5.12 and 5.13	105.14	Director/Chief of Administration	Heads of entity
Formal methods of solicitation	5.12 and 5.13	105.15	Director/Chief of Administration	Heads of entity
Exceptions to the use of formal methods of solicitation	5.12 and 5.13	105.16 (a) (i), (ii), (iv)–(x) and (b)	Director/Chief of Administration, USG/DFS	Heads of entity
Exceptions to the use of formal methods of solicitation (result of cooperation with other organizations of the United Nations system)	5.12 and 5.13	105.16 (a) (iii) pursuant to 105.17 (a)	Director/Chief of Administration of UNOG, UNOV, UNON, ITC, UNFCCC secretariat, OCHA, USG/DFS	Heads of entity
Cooperation (letters of assist)	5.12 and 5.13	105.16 (a) (iii) pursuant to 105.17 (b)	Director/Chief of Administration of UNOG, UNOV, UNON, ITC, UNFCCC secretariat, USG/DFS	USG/DOS
Written contracts	5.12 and 5.13	105.18	Director/Chief of Administration, USG/DFS	Heads of entity
Advance payments	5.12 and 5.13	105.19 (a)	Director/Chief of Administration, USG/DFS	Heads of entity

Abbreviations: ITC, International Trade Centre; OCHA, Office for the Coordination of Humanitarian Affairs; UNFCCC, United Nations Framework Convention on Climate Change; UNOG, United Nations Office at Geneva; UNON, United Nations Office at Nairobi; UNOV, United Nations Office at Vienna; USG/DFS, Under-Secretary-General for Field Support.

Annex III

Delegation of financial authorities: property management

	Financial regulation	*Financial rule*	*Before 1 January 2019*	*From 1 January 2019*
Authority and responsibility		105.20 and 105.21	Director/Chief of Administration, USG/DFS	Heads of entity
Review boards related to property management		105.22	Director/Chief of Administration, USG/DFS	Heads of entity
Sales/disposal of property (except for real property)		105.23 and 105.24	Director/Chief of Administration, USG/DFS	Heads of entity
Sales/disposal of real property		105.23 and 105.24	Director/Chief of Administration, USG/DFS	Heads of entity
Disposition of assets of peacekeeping operations (except for real property)	5.14		USG/DFS	Heads of entity
Disposition of real property of peacekeeping operations	5.14		USG/DFS	Heads of entity

Abbreviation: USG/DFS, Under-Secretary-General for Field Support.

Annex IV

Delegation of human resources authorities

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Chapter I. Duties, obligations and privileges				
Decision to assign or transfer laterally a staff member to another duty station within the same entity	1.2 (c)		Heads of entity (D-1 and below)	Heads of entity (D-2 and below)
Approval of acceptance of honour or gift	1.2 (k) and (l)	1.2 (l), (m), (o) and (p)	USG/DM, ASG/OHRM	Heads of entity
Authority to deal with a matter despite a conflict of interest	1.2 (m) and (n)	1.2 (q) and (r)	USG/DM	USG/DMSPC
Determine which staff should complete financial disclosures and ensure compliance for timely filing of financial disclosures	1.2 (n)	1.2 (r)	Heads of entity (except missions)	Heads of entity
Outside employment and activities	1.2 (p)	1.2 (s), (t), (u) and (v)	Heads of entity	Heads of entity
Establishment of working hours and official holidays at UNHQ and exceptions to working hours and official holidays at UNHQ	1.3 (b)	1.4	Secretary-General, USG/DM, ASG/OHRM	USG/DMSPC
Establishment of and exceptions to working hours outside UNHQ and establishment of official holidays outside UNHQ	1.3 (b)	1.4	Heads of OAHs, regional commissions (not missions)	Heads of entity
Notification by staff members and obligation to supply information including to acquire/retain resident status in country other than country of nationality and to waive privileges and immunities	1.2	1.5	OAHs, regional commissions (not heads of departments, offices, missions)	Heads of entity

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Chapter II. Classification of posts and staff				
Decisions on the classification of posts in all entities	2.1	2.1	ASG/OHRM Different levels of delegations to different entities	USG/DMSPC
Chapter III. Salaries and related allowances				
Establishment and publication of salary scales, establishment of rates of dependency allowance	3.1	3.1, 3.6, 3.8, 3.9	ASG/OHRM	USG/DMSPC
Establishment of rates of language allowance, establishment of terms of education grant and special education grant, establishment of terms and conditions for tuition in the mother tongue				
Exemption from staff assessment of the salaries and emoluments of staff engaged at local rates	3.3 (a)		ASG/OHRM	USG/DMSPC
Applicability of scales of staff assessment	3.3 (b)	3.2	USG/DM	USG/DMSPC
Granting of within-grade salary increment, decision on withholding salary increments, determination of the level/step on appointment	3.1, 3.3 (a)	3.3 (b), 3.4	USG/DM, OAHs, regional commissions (not heads of departments, offices, missions)	Heads of entity
Decision to apply post adjustment of former duty station for maximum of six months		3.7	ASG/OHRM, OAHs, regional commissions	Heads of entity
Decision to grant a special post allowance	3.3	3.10	OAHs, regional commissions (not heads of departments, offices, missions) for D-1 and below	Heads of entity (D-1 and below)
Establishment of overtime and night differential rates	3.1	3.11	ASG/OHRM	USG/DMSPC
Decision on compensation for overtime and compensatory time off	3.1	3.11	Heads of entity	Heads of entity

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Decision to grant salary advances on initial appointment, including in exceptional circumstances		3.16	Different levels of delegations to different entities	Heads of entity
Retroactivity of payments		3.17	Heads of entity	Heads of entity
Decision on deduction from salary for indebtedness		3.18	ASG/OHRM, OAHs and heads of departments, offices (not regional commissions, missions) (only for indebtedness to the United Nations)	Heads of entity (except for indebtedness to a third party)
Approval of repatriation grant		3.19	OAHs, regional commissions, missions (not heads of departments, offices)	Heads of entity
Chapter IV. Appointment and promotion				
Selection decisions, appointments and lateral reassignments	4.1 and 4.2	4.1, 4.2, 4.4 and 4.5	Heads of entity	Heads of entity (D-1 and below)
Initial determination of nationality	4.1 and 4.2	4.3	ASG/OHRM, OAHs, regional commissions (not heads of departments, offices, missions)	Heads of entity
Decision to grant one-time change in United Nations-recognized nationality	4.1 and 4.2	4.3	ASG/OHRM, OAHs, regional commissions (not heads of departments, offices, missions)	Heads of entity
Loss of entitlement (permanent residence issue subject to review by the General Assembly)	4.1 and 4.2	4.5 (d)	ASG/OHRM, OAHs, regional commissions (not heads of departments, offices, missions)	USG/DMSPC
Family relationships		4.7	ASG/OHRM, OAHs, regional commissions (not heads of departments, offices, missions)	Heads of entity
Change of official duty station		4.8	ASG/OHRM	Heads of entity
Inter-organization movements (secondment, loan and transfer within the United Nations common system)	4.1 and 4.2	4.9	ASG/OHRM, OAHs, regional commissions (not heads of departments, offices, missions)	Heads of entity

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Extension of temporary and fixed-term appointments	4.1	4.12, 4.13	Secretary-General for D-2 and above, heads of departments, offices, OAHs, regional commissions, missions for D-1 and below	Heads of entity (D-2 and below)
Exceptional extension of temporary appointments beyond 364 days (up to the limit established by the General Assembly of 729 days)	4.1	4.12	Secretary-General for D-2 and above, heads of departments, offices, OAHs, regional commissions, missions for D-1 and below, USG/DM for associate experts subject to Member State and substantive office agreement	Secretary-General for ASG/USG levels, heads of entity
Granting of continuing appointments	4.1	4.14	ASG/OHRM	USG/DMSPC
Re-employment	4.1	4.17	OAHs, regional commissions (not heads of departments, offices, missions) P-4 and below	Heads of entity (D-1 and below if for fixed term and D-2 and below if temporary)
Reinstatement	4.1	4.18	OAHs, regional commissions (not heads of departments, offices, missions) P-4 and below	Heads of entity
Chapter V. Annual and special leave				
Approval of annual leave	5.1	5.1	Heads of entity	Heads of entity
Approval of home leave	5.3	5.2	Different delegation to different entities for each aspect of the home leave entitlement	Heads of entity
Approval of special leave	5.2	5.3	Different delegation to different entities for each aspect of the special leave entitlement	Heads of entity
Chapter VI. Social security				
Exclusion from United Nations Joint Staff Pension Fund	6.1	6.1	ASG/OHRM	USG/DMSPC
Sick leave	6.2	6.2	Different delegations for different authorities over sick leave	Medical officials depending on the total number of sick days

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Maternity and paternity leave	6.2	6.3	Different delegations for different authorities over maternity and paternity leave	Heads of entity
Compensation for death, injury and illness (appendix D)	6.2	6.4 and 6.5	USG/DM (over $25,000)	USG/DMSPC
Authority to consider de minimis claims submitted to the Advisory Board on Compensation Claims	6.2	6.4	Controller	USG/DMSPC
Chapter VII. Travel and relocation expenses				
Official travel: establishment of standard of accommodations, establishment of conditions and rates of settling-in grant, including the lump sum	7.1	7.1	USG/DM	USG/DMSPC
Official travel: exceptions to the standard of accommodations	7.1	7.6 (h) and (i)	USG/DM	USG/DMSPC
Authorization of official travel	7.1	7.4	Heads of entity	Heads of entity
Eligible family member travel	7.1	7.2	Heads of departments, offices, OAHs, regional commissions, missions (for medical or security reasons) and ASG/OHRM (for reasons other than medical or security)	Heads of entity
Payment of return travel expenses for staff members on fixed-term/continuing/temporary appointments who resign before completing one year of service or within six months following return from home leave or family visit, etc.		7.3	ASG/OHRM	Heads of entity
Implementation of standards of routes, modes and alternative travel modes	7.1	7.6	Heads of entity	Heads of entity

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Establishment of rates and conditions of mode, route and standard of travel, establishment of conditions for lump-sum amount to be paid in lieu of relocation shipments (relocation grant)	7.2	7.6, 7.16	ASG/OHRM	USG/DMSPC
Establishment of terminal expenses	7.1	7.8	USG/DM	USG/DMSPC
Purchase of tickets	7.1	7.8	Heads of OAHs, regional commissions and missions	Heads of entity
DSA and determination and granting of ad hoc DSA	7.1	7.10	ASG/OHRM	Heads of entity
Miscellaneous travel expenses and travel advances		7.11 and 7.12	Heads of entity	Heads of entity
Approval of settling-in grant		7.14	Heads of entity	Heads of entity
Defer travel and removal of household goods or shipment of personal effects up to two years following separation		7.16	USG/DM	Heads of entity
Extend period for payment of relocation shipment up to two years following separation		7.16	ASG/OHRM, OAHs, regional commissions	Heads of entity
Insurance for unaccompanied shipments and of the shipment and storage of personal effects and household goods		7.19	USG/DM	USG/DMSPC
Chapter VIII. Staff relations				
Relations with staff representative bodies	8.1	8.1	USG/DM	USG/DMSPC
Agreement to electoral regulations drawn up by staff representatives	8.1	8.1	Secretary-General	OLA/Legal Counsel
Establishment of joint staff-management machinery	8.2	8.2	Secretary-General	Secretary-General

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Selection of president, and of members representing the head of office, JAC or corresponding staff-management body at office at Headquarters	8.2	8.2	Secretary-General	Secretary-General
Selection of president, and of members representing the head of office, JAC or corresponding staff-management body at office other than Headquarters	8.2	8.2	OAHs, regional commissions (not heads of departments, offices, missions)	Heads of entity
Chapter IX. Separation from service				
Separation from service: resignation	9.1	9.2	USG (short notice for staff in Professional and higher categories up to and including at the D-2/P-7 levels and for staff in the General Service and related categories)	Heads of entity (D-2 and below)
Separation from service: abandonment of post	9.3	9.3	ASG/OHRM	Heads of entity (D-2 and below)
Offer and approval of agreed separation packages	9.3		USG/DM (D-1 and below)	Heads of entity (D-2 and below)
Separation from service: expiration of appointment	4.1	9.4	Heads of entity	Heads of entity (D-2 and below)
Separation from service: exceptional extension beyond retirement age	9.2	9.5	D-2 and above Secretary-General; D-1 and below USG; ASG/OHRM, OAHs for General Service and related categories	Heads of entity (D-2 and below)
Separation from service: termination for disciplinary reasons, for facts anterior to appointment, in the interests of good administration or for unsatisfactory performance	9.3	9.6	USG/DM (D-2 and below)	USG/DMSPC (D-2 and below)

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Separation from service: termination upon abolishment of post approved by the General Assembly or on disability following approval by the Pension Board	9.3	9.6	Secretary-General/ USG/ASG	Heads of entity (D-2 and below)
Notice of termination	9.3	9.7	ASG/OHRM, heads of departments, offices	Heads of entity (D-2 and below)
Decision on termination indemnity	9.3 and annex III		USG/DM (D-2 and below)	USG/DMSPC (D-2 and below)
Establish conditions for special leave to bridge to retirement		9.8	ASG/OHRM	USG/DMSPC
Restitution of advance annual and sick leave	9.3	9.10	ASG/OHRM, OAHs	Heads of entity (D-2 and below)
Last day for pay purposes	9.3	9.11		Heads of entity (D-2 and below)
Certificate of service	9.3	9.12	ASG/OHRM, heads of departments, offices	Heads of entity (D-2 and below)
Chapter X. Disciplinary measures				
Initiation of investigation and report	10.1	10.1	Heads of all entities (D-2 and below)	Heads of entity (D-2 and below)
Imposition of administrative measures	10.1	10.2 (b)(i)	ASG and above Secretary-General; D-2 and below USG/DM, ASG/OHRM and heads of entity	Heads of entity and USG/DMSPC (D-2 and below)
Disciplinary process	10.1	10.3	ASG/OHRM (D-2 and below)	USG/DMSPC (D-2 and below)
Decision to require staff to reimburse for financial loss	10.1	10.1 (b)	USG/DM (D-2 and below)	USG/DMSPC (D-2 and below)
Authority to appeal against a judgment of the United Nations Dispute Tribunal involving a disciplinary matter	10.1	10.3 (d)	OLA/Legal Counsel	OLA/Legal Counsel
Decision on disciplinary sanctions based on recommendation from ASG/OHRM	10.1	10.2	USG/DM (D-2 and below)	USG/DMSPC (D-2 and below)

	Staff regulation	*Staff rule*	*Before 1 January 2019*	*From 1 January 2019*
Administrative leave with pay pending investigation	10.1	10.4	OAHs, regional commissions (not heads of departments, offices, missions)	Heads of entity (D-2 and below)
Administrative leave without pay pending investigation	10.1	10.4	USG/DM (D-2 and below)	USG/DMSPC (D-2 and below)
Chapter XI. Appeals				
Informal resolution	11.1	11.1	Heads of entity	Heads of entity
Management evaluation	11.1	11.2	USG/DM	USG/DMSPC
Suspension of action	11.1	11.3	Secretary-General, USG/DM	USG/DMSPC
Authority to appeal against a judgment of the United Nations Dispute Tribunal	11.1	11.5 (b)	OLA/Legal Counsel	OLA/Legal Counsel
Chapter XII. General provisions				
Proposed amendments to the Staff Regulations and Rules for consideration by the General Assembly; and provisional amendments to the Staff Rules	12.2	12.3	Secretary-General	USG/DMSPC
Decision to take action in exceptional circumstances under conditions established by the Secretary-General as provided for under the Staff Rules	12.2	12.3	ASG/OHRM	Heads of entity
Exceptions to the Staff Rules (where no discretionary authority exists)	12.2	12.3	ASG/OHRM	USG/DMSPC

Abbreviations: ASG, Assistant Secretary-General; DM, Department of Management; DMSPC, Department of Management Strategy, Policy and Compliance; DSA, daily subsistence allowance; JAC, joint advisory committee; OAH, office away from Headquarters; OHRM, Office of Human Resources Management; OLA, Office of Legal Affairs; UNHQ, United Nations Headquarters; USG, Under-Secretary-General.